

SECTION 013300 - SUBMITTAL PROCEDURES

PART 1 GENERAL

1.1 RELATED DOCUMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 01 Specification Sections, apply to this Section.

1.2 SUMMARY

- A. Administrative and procedural requirements for submitting:
 - 1. Shop Drawings.
 - 2. Product Data.
 - 3. Samples.
 - 4. Miscellaneous submittals.
 - 5. Substitution Request Procedures.
- B. Coordinate initiation of software and internet setup with COTR.

1.3 DEFINITIONS

- A. Action Submittals: Written and graphic information that requires Contracting Officer's Technical Representative's (COTR's) responsive action. Action submittals are those submittals indicated in individual Specification Sections as "action submittals."
- B. Informational Submittals: Written and graphic information and physical samples that do not require COTR's responsive action. Submittals may be rejected for not complying with requirements. Informational submittals are those submittals indicated in individual Specification Sections as "informational submittals."
- C. File Transfer Protocol (FTP): Communications protocol that enables transfer of files to and from another computer over a network and that serves as the basis for standard Internet protocols. An FTP site is a portion of a network located outside of network firewalls within which internal and external users are able to access files.
- D. Portable Document Format (PDF): An open standard file format licensed by Adobe Systems used for representing documents in a device-independent and display resolution-independent fixed-layout document format.

1.4 QUALITY ASSURANCE

- A. Perform no portion of Work requiring submittal and review of Shop Drawings, Product Data, Samples, or similar submittals until respective submittal has been approved by COTR.

1.5 SUBMITTAL PROCEDURES

- A. General: Electronic copies of CAD Drawings of Contract Drawings will be provided by Architect for Contractor's use in preparing submittals, subject to completion and return of District's release form provided at end of this section.
- B. Contractor cannot submit a "Product Substitution" using the submittal process. Contractor shall submit product substitutions in accordance with this Section.
- C. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Contractor shall use approved Electronic Project Management (ePM) system to transfer submittals.
 - 1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 - 2. Coordinate transmittal of different types of submittals for related parts of Work so processing will not be delayed because of need to review submittals concurrently for coordination.
 - a. COTR reserves right to withhold action on submittal requiring coordination with other submittals until related submittals are received.
- D. Processing Time: Allow enough time for submittal review, including time for resubmittals, as follows. Time for review shall commence on COTR's receipt of submittal.
 - 1. Initial Review: Allow 15 days for initial review of each submittal. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. COTR will advise Contractor when submittal being processed must be delayed for coordination.
 - 2. Extended Review: Allow 20 days for initial review of the following submittals:
 - a. HVAC temperature controls.
 - b. HVAC balancing report.
 - c. Coordination drawings.
 - d. If more than five (5) shop drawings of a single trade are received in one week.
 - 4. If intermediate submittal is necessary, process in same manner as initial submittal.
 - 5. Allow 5 days for processing each resubmittal.
- E. Identification: Place permanent label or title block on each submittal for identification.
 - 1. Indicate name of firm or entity that prepared each submittal on label or title block.
 - 2. Provide space approximately four by five inches on label or beside title block to record Contractor's review and approval markings and action taken by COTR.
 - 3. Include following information on label for processing and recording action taken:
 - a. Project name.
 - b. Date.
 - c. Name and address of Contractor.
 - d. Name and address of subcontractor.
 - e. Name and address of supplier.

- f. Name of manufacturer.
 - g. Unique identifier, including revision number.
 - h. Number and title of appropriate Specification Section.
 - i. Drawing number and detail references, as appropriate.
 - j. Other necessary identification.

- A. Deviations: Highlight, encircle, or otherwise identify deviations from Contract Documents on submittals.

- B. Additional Copies: Unless additional copies are required for final submittal, and unless COTR observes noncompliance with provisions of Contract Documents, initial submittal may serve as final submittal.

- C. Transmittal: Package each submittal individually and appropriately for transmittal and handling. Transmit each submittal using transmittal form. Submittals received from sources other than Contractor will be returned by COTR without review.
 - 1. On attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by COTR on previous submittals, and deviations from requirements of Contract Documents, including minor variations and limitations. Include same label information as related submittal.
 - 2. Include Contractor's certification stating that information submitted complies with requirements of Contract Documents.
 - 3. Transmittal Form: Submit on Electronic Project Management system.

- I. Resubmittals:
 - 1. Make resubmittals using original submittal number and designation.
 - 2. Subject to same terms and conditions as original submittal.
 - 3. COTR will accept not more than one (1) resubmittal.

- J. Distribution: Furnish copies of final submittals to COTR, subcontractors, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.

- K. Use for Construction: Use only final submittals with mark indicating action taken by COTR in connection with construction.

- 1.6 SUBMITTAL REQUIREMENTS FOR COMMISSIONING
 - A. Standard Submittals: Submit copy of standard submittals for equipment to be commissioned to Commissioning Authority. Refer to Section 01 91 13 "Commissioning."

- 1.7 SUBSTITUTION PROCEDURES
 - A. No substitutions except as approved by COTR.

PART 2 PRODUCTS

2.1 ACTION SUBMITTALS

- A. General: Prepare and submit Action Submittals required by individual Specification Sections.
 - 1. Furnish copies of returned submittal for distribution, project record documents, and operation and maintenance manuals.
- B. Product Data: Collect information into single submittal for each element of construction and type of product or equipment.
 - 1. If information must be specially prepared for submittal because standard printed data are not suitable for use, submit as Shop Drawings, not as Product Data.
 - 2. Mark each copy of each submittal to show which products and options are applicable.
 - 3. Include following information, as applicable:
 - a. Manufacturer's written recommendations.
 - b. Manufacturer's product specifications.
 - c. Manufacturer's installation instructions.
 - d. Standard color charts.
 - e. Manufacturer's catalog cuts.
 - f. Wiring diagrams showing factory-installed wiring.
 - g. Printed performance curves.
 - h. Operational range diagrams.
 - j. Standard product operating and maintenance manuals.
 - k. Compliance with recognized trade association standards.
 - l. Compliance with recognized testing agency standards.
 - m. Application of testing agency labels and seals.
 - n. Approval numbers of organizations or agencies as required by agencies having jurisdiction.
 - o. Notation of dimensions verified by field measurement.
 - p. Notation of coordination requirements.
- C. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of Contract Documents or standard printed data.
 - 1. Preparation: Include following information, as applicable:
 - a. Dimensions.
 - b. Identification of products.
 - c. Fabrication and installation drawings.
 - d. Roughing-in and setting diagrams.
 - e. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
 - f. Shopwork manufacturing instructions.
 - g. Templates and patterns.
 - h. Schedules.
 - i. Design calculations.
 - j. Compliance with specified standards.
 - k. Notation of coordination requirements.

- l. Notation of as-built conditions.
 - m. Notation of dimensions established by field measurement.
- 2. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
- 3. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 30 by 40 inches.
- D. Samples: Prepare physical units of materials or products and transmit via U.S. Postal Service or other carrier, including following:
 - 1. Comply with requirements in Section 01 40 00 "Quality Requirements" for mockups if applicable.
 - 2. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, textures, and patterns available.
 - 3. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from same material to be used for Work, cured and finished in manner specified, and physically identical with product proposed for use, and that show full range of color and texture variations expected. Samples include, but are not limited to
 - a. Partial sections of manufactured or fabricated components.
 - b. Small cuts or containers of materials.
 - c. Complete units of repetitively used materials.
 - d. Swatches showing color, texture, and pattern.
 - e. Color range sets.
 - f. Components used for independent testing and inspection.
 - 4. Preparation: Mount, display, or package Samples in manner specified to facilitate review of qualities indicated. Prepare Samples to match COTR's sample where so indicated. Attach label on unexposed side that includes following:
 - a. Generic description of Sample.
 - b. Product name or name of manufacturer.
 - c. Sample source.
 - 5. Additional Information: On attached separate sheet, prepared on Contractor's letterhead, provide following:
 - a. Size limitations.
 - b. Compliance with recognized standards.
 - c. Availability.
 - d. Compliance with governing regulations.
 - e. Statement of acceptable uses or statement indicating suitability of product specified for proposed use.
 - f. Delivery time.
 - 6. Submit Samples for review of kind, color, pattern, and texture for final check of these characteristics with other elements and for comparison of these characteristics between final submittal and actual component as delivered and installed.
 - a. If variation in color, pattern, texture, or other characteristic is inherent in product represented by Sample, submit at least three sets of paired units that show approximate limits of variations.

- b. Refer to individual Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.
- 7. Number of Samples for Initial Selection: Submit two (2) full set of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. COTR will return submittal with options selected.
- 8. Number of Samples for Verification: Submit five (5) sets of Samples. COTR will retain three (3) Sample sets; remainder will be returned.
 - a. Submit single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
- 9. Disposition: Maintain sets of approved Samples at Project site, available for quality-control comparisons throughout course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
 - a. Samples that may be incorporated into Work are indicated in individual Specification Sections. Such Samples must be in undamaged condition at time of use.
 - b. Samples not incorporated into Work, or otherwise designated as District's property, are property of Contractor.

2.2 DELEGATED-DESIGN SERVICES

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Contractor by the Contract Documents, provide products and systems complying with specific performance and design criteria indicated.
 - 1. If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to Architect.
- B. Delegated-Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit **three** paper copies of certificate, signed and sealed by the responsible design professional, for each product and system specifically assigned to Contractor to be designed or certified by a design professional.
 - 1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.

PART 3 EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Review each submittal and check for compliance with Contract Documents. Note corrections and field dimensions. Mark with review stamp before submitting to COTR.
- B. Contractor's Stamp: Stamp each submittal with uniform, review stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date of